



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
PATENT TRANSMITTAL FORM

15N 3753

Applicant(s): Ashe, et al.
Serial No.: 10/522,974
Filed: February 1, 2005
For: REDUCED VOLUME HEAT EXCHANGERS
Art Unit: 3753
Examiner: Not Yet Assigned
Confirmation No.: 2336
Customer No.: 27623 Attorney Docket No.: 377.8168USU

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

We are enclosing:

1. Information Disclosure Statement with copies of references;
2. PTO Form 1449;
3. Transmittal letter in duplicate; and
4. Postcard.

Please charge any additional fees or credit any such fees, if necessary to Deposit Account No. 01-0467 in the name of Ohlandt, Greeley, Ruggiero & Perle. A duplicate copy of this sheet is attached.

Respectfully submitted,

Date: May 6, 2005

Paul D. Greeley, Esq.
Reg. No. 31,019
Ohlandt, Greeley, Ruggiero & Perle, L.L.P.
One Landmark Square, 10th Floor
Stamford, Connecticut 06901-2682
(203) 327-4500

CERTIFICATE OF MAILING

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE U.S. POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO: MAIL STOP AMENDMENT, COMMISSIONER FOR PATENTS, P.O. BOX 1450, ALEXANDRIA, VA 22313-1450, ON May 6, 2005.

Lynn Sherrod
NAME

SIGNATURE

May 6, 2005
DATE



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INFORMATION DISCLOSURE STATEMENT

Dear Sir:

In accordance with applicant's duty of disclosure under 37 C.F.R. §1.56, please find attached hereto form PTO-1449 listing information which may be material to the patentability of this application, filed **February 1, 2005**. This Information Disclosure Statement is being filed:

- ☐ Within three (3) months of the filing date of the national application;
- ☐ Within three (3) months of the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application;
- ☒ Before the mailing date of a first Office Action on the merits;
- ☐ After the filing date or date of first Office Action, but before the mailing date of a final action under 37 C.F.R. §1.113, provided that this occurs prior to the issuance of a Notice of Allowance and provided that this I.D.S. is accompanied by either a certification as specified in 37 C.F.R. §1.97(e) or the fee set forth in 37 C.F.R. §1.17(p);

- _____ After the filing date or date of first Office Action, but before the mailing date of a Notice of Allowance under 37 C.F.R. §1.311, provided that this occurs prior to the final action and provided that this I.D.S. is accompanied by either a certification as specified in 37 C.F.R. §1.97(e) or the fee set forth in 37 C.F.R. §1.17(p);
- _____ After the mailing date of a final action under 37 C.F.R. §1.113, provided that this occurs prior to the issuance of a Notice of Allowance and provided that this I.D.S. is accompanied by a certification as specified in 37 C.F.R. §1.97(e) and the fee set forth in 37 C.F.R. §1.17(p); and
- _____ After the mailing date of a Notice of Allowance under 37 C.F.R. §1.311, provided that this occurs prior to or subsequent to the payment of the Issue Fee and provided that this I.D.S. is accompanied by a certification as specified in 37 C.F.R. §1.97(e) and the fee set forth in 37 C.F.R. §1.17(p).
- _____ Filing with RCE Under 37 CFR 1.114, thus no fee is required.

Also enclosed are copies of the following;

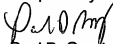
PCT Publication Nos.: WO 97/49962 and WO 2004017007; and

Foreign Publication Nos.: DE 4241179; GB 273306; GB 424063; GB 835297.

Cited in the attached PTO-1449 are U.S. Patent Nos. 3357408; 43366.14; 4343, 626. Pursuant to the waiving of the requirement of 37 CFR 1.98 (a)(2)(i), copies of these U.S. references are not enclosed.

It should be understood that attention has been called to the references that have been deemed to be pertinent to the claimed present invention. In concluding what was pertinent, the criteria employed was considered most appropriate in light of the invention shown in the present application. However, the Examiner or others may deem some other criteria to be just as appropriate or more appropriate. Therefore, the Examiner is respectfully urged to review the listed references and to make the usual careful independent search for other prior art that may be pertinent.

Respectfully submitted,



Paul D. Greeley
Reg. No. 31,019
Ohlandt, Greeley, Ruggiero & Perle, L.L.P.
One Landmark Square, 10th Floor
Stamford, CT 06901-2682
(203) 327-4500

May 6, 2005

Sheet 1 of 1.

FORM PTO-1449

INFORMATION DISCLOSURE CITATION IN AN APPLICATION

(Use several sheets if necessary)

Docket Number (Optional)

377.8186USU

Applicant

Ashe, et al.

Filing Date

February 1, 2005

Application Number

10/522,974

Group Art Unit

3753

U. S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO
/AF/	DE 4241179	6/9/94	Germany			X	
/AF/	GB 273306	11/10/27	U.K.			X	
/AF/	GB 424063	2/14/35	U.K.			X	
/AF/	GB 835297	5/18/60	U.K.			X	
/AF/	WO 97/49962	2/26/04	PCT			X	
/AF/	WO 2004/017007	12/31/97	PCT			X	

OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER

/Allen Flanigan/

DATE CONSIDERED

07/21/2008

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP §609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.